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references

Application Number

09/938,200

Filing Date

August 23, 2001

First Named Inventor

Carmel M. LYNCH

Group Art Unit

1633

Examiner Name

To Be Assigned

Attorney Docket No.

226272001702

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ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Reply

☐ After Final

☐ Affidavits/declarations

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement - 3
pages

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/
Incomplete Application

☐ Response to Missing Parts
under 37 CFR 1.52 or 1.53

☐ Assignment Papers
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a
Provisional Application

☐ Power of Attorney, Revocation
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

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☐ After Allowance Communication to
Group

☐ Appeal Communication to Board of
Appeals and Interferences

☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify
below):

1. Form PTO-1449 + copy - 14 pages
2. Thirty (30) references
3. Return postcard

Remarks

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm

Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018

or

Individual Name

Catherine M. Polizzi (Registration No. 40,130)

Signature

Catherine M. Polizzi

Date

February 20, 2002

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#3
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PATENT
Docket No. 226272001762

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Carmel M. LYNCH and Randolph L.
GEARY

Serial No.: 09/938,200

Filing Date: August 23, 2001

For: METHODS FOR TRANSDUCING
CELLS IN BLOOD VESSELS USING
RECOMBINANT AAV VECTORS

Examiner: To Be Assigned

Group Art Unit: 1633

**INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97 AND § 1.98**

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents numbered 1-13, 17, 19-21, 23-24, 26, 29, 32-33, 35-36, 38, 40, 42-50, 54-60, 62-73, 76-82, 85-93, 95, 97-109, 113-115, 118-120, and 123 were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial Number 08/793,916 filed on February 28, 1997, and, accordingly, copies are not included herewith. Documents numbered 14-16, 18, 22, 25, 27-28, 30-31, 34, 37, 39, 41, 51-53, 61, 74-

75, 83-84, 94, 96, 110-112, 116-117, 121, and 122 are being submitted herewith. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609(A)(2). The Examiner is requested to make these documents of record in the application.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of * is enclosed.
 - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
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 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17 is attached to this submission in duplicate.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist;

(iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicants petition for any required relief including extensions of time and authorize the Assistant Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 226272001702. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: February 20, 2002

Respectfully submitted,

By: Catherine M. Polizzi
Catherine M. Polizzi
Registration No. 40,130

Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018
Telephone: (650) 813-5651
Facsimile: (650) 494-0792

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INFORMATION DISCLOSURE CITATION
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Docket Number 226272001702

Application Number 09/938,200

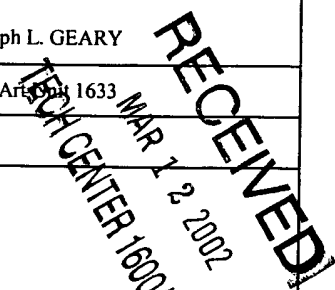
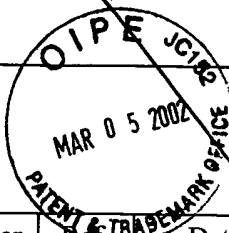
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U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	10/01/85	4,544,632	Yamamura et al.			
	2.	06/23/87	4,675,391	Yamamura et al.			
	3.	06/13/89	4,839,298	Kaieda et al.			
	4.	10/15/91	5,057,423	Hiserodt et al.			
	5.	03/21/95	5,399,346	Anderson et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	6.	11/12/91	WO 92/08796	WIPO			
	7.	05/19/94	WO 94/28143	WIPO			
	8.	05/18/95	WO 95/13365	WIPO			
	9.	05/18/95	WO 95/13392	WIPO			
	10.	06/12/95	WO 95/15892	WIPO			
	11.	09/14/95	WO 95/24202	WIPO			
	12.	01/04/96	WO 96/00006	WIPO			
	13.	04/03/97	WO 97/12050	WIPO			

OTHER DOCUMENTS

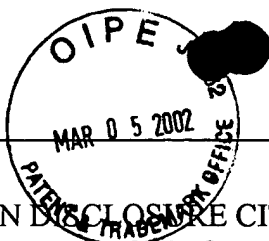
(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	14. ✓	Abbas, A. et al. (1991). <u>Cellular and Molecular Immunology</u> . 1st edition, pp. xi-xiii. (Table of Contents Only).
	15. ✓	Abbas, A. et al. (1994). <u>Cellular and Molecular Immunology</u> . 2nd edition, pp. xi-xiii. (Table of Contents Only).
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Application Number 09/938,200

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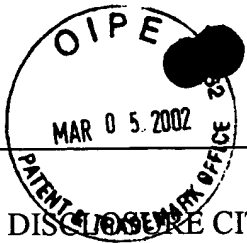
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Filing Date August 23, 2001

Group Art Unit 16

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Docket Number 226272001702

Application Number 09/934,400

Applicant

Carmel M. LYNCH and Randolph L. LYNCH

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